

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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In re Patent Application of:

Attention: Application Branch

DAWSON

Atty. Dkt. 2425-14

Serial No. 09/972,193

Filed: October 9, 2001

Date: December 5, 2001

For: APPARATUS AND METHODS FOR HANDLING TRADING DATA

Assistant Commissioner for Patents  
Washington, D.C. 20231

The attached completes filing of the above-identified patent application:

- Signed Rule 63 Declaration alone,  Copy of Declaration from prior application alone, OR
  - Signed Declaration plus attached copy of originally filed specification/drawings.
  - NOTICE TO FILE MISSING PARTS OF APPLICATION FILING DATE GRANTED** form.
  - Record the attached assignment and return to the undersigned.
  - Attached is a Power of Attorney.
  - Priority is hereby claimed under 35 U.S.C. § 119 based on the following foreign applications:
- | Application Number | Country        | Day/Month/Year Filed |
|--------------------|----------------|----------------------|
| 0024671.0          | United Kingdom | 9 October 2000       |

respectively.

- Certified copy(ies) of foreign application(s) is/are attached.
- Certified copy(ies) filed on \_\_\_\_\_ in prior application no. \_\_\_\_\_, filed \_\_\_\_\_.
- Applicant claims "small entity" status.  "Small entity" statement attached.
- Please enter the attached and/or below preliminary amendment prior to calculation of filing fee.
- Also attached:  Information Disclosure Statement;  Nucleotide and/or Amino Acid Sequence Submission;  Other:

**Fees due are calculated below:**

Basic filing fee		\$	740.00
Total Effective claims	29 - 20 = 9	x \$	18.00
Independent claims	3 - 3 = 0	x \$	84.00
If any proper multiple dependent claims now added for first time, add \$280.00 (ignore improper)		\$	0.00
		<b>FILING FEE</b>	\$ 902.00
Petition is hereby made to extend the current due date so as to cover the filing date of this paper and attachment(s) (\$110.00/1 month; \$400.00/2 months; \$920.00/3 months; \$1440.00/4 months)		\$	0.00
Surcharge (\$130.00) if Declaration or filing fee first now submitted		\$	130.00
English translation of specification and claims (\$130.00)		\$	0.00
		<b>FIRST SUBTOTAL</b>	\$ 1,032.00
If "small entity," enter half (1/2) of subtotal and subtract		-\$	0.00
		<b>SECOND SUBTOTAL</b>	\$ 1,032.00
Assignment Recording Fee (\$40.00)		\$	40.00
		<b>TOTAL FEE DUE</b>	\$ 1,072.00
		Check enclosed (Pre-Bill)*	\$ 910.00
		Check enclosed (non Pre-Bill)*	\$ 162.00
		<b>TOTAL FEE ENCLOSED</b>	\$ 1072.00

Any future submission requiring an extension of time is hereby stated to include a petition for such time extension. The Commissioner is hereby authorized to charge any deficiency, or credit any overpayment, in the fee(s) filed, or asserted to be filed, or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to our **Account No. 14-1140**. A duplicate copy of this sheet is attached.

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**NIXON & VANDERHYTE P.C.**

By Atty: Larry S. Nixon, Reg. No. 25,640

Signature: Larry S. Nixon

\*For N&V internal accounting purposes


**UNITED STATES PATENT AND TRADEMARK OFFICE**

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/972,193	10/09/2001	Brian T. Dawson	2425-14

 NIXON & VANDERHYE P.C.  
 8th Floor  
 1100 North Glebe Road  
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**CONFIRMATION NO. 3111**
**FORMALITIES LETTER**


\*OC000000007044186\*

Date Mailed: 11/08/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

12/06/2001 MWOLDER1 00000131 09972193

**FILED UNDER 37 CFR 1.53(b)**

01 FC:101	740.00 OP
02 FC:103	162.00 OP
03 FC:105	130.00 OP

**Filing Date Granted**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$162.
  - \$162 for 9 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1032.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
 Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE